



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 330

## Complete if Known

Application Number	09/784,660
Filing Date	2/15/2001
First Named Inventor	KHAN
Examiner Name	DANIEL A. NOLAN
Art Unit	2654
Attorney Docket No.	N0084US

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number: 50-0728  
Deposit Account Name: NAVTEQ North America, LLC

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)				(\$ )	

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	Extra Claims	Fee from below	Fee Paid
Total Claims	-20** =	X	
Independent Claims	-3** =	X	
Multiple Dependent			

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ )

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	330
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 330

## SUBMITTED BY

Name (Print/Type) FRANK J. KOZAK

Registration No. 32,908  
(Attorney/Agent)

(Complete if applicable)

Telephone 312 894-7371

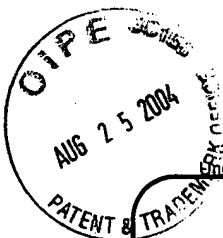
Signature

Date 8/23/2004

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



IFW  
A#

PTO/SB/21 (02-04)

Approved for use through 07/31/2006. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	09/784,660	
	Filing Date	2/15/2001	
	First Named Inventor	KHAN	
	Art Unit	2654	
	Examiner Name	NOLAN	
Total Number of Pages in This Submission	35	Attorney Docket Number	N0084US

ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input checked="" type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): post card receipt
<b>SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT</b>		
Firm or Individual name	Frank J. Kozak, Chief IP Counsel, NAVTEQ North America, LLC	
Signature		
Date	8/23/2004	

CERTIFICATE OF TRANSMISSION/MAILING	
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.	
Typed or printed name	Frank J. Kozak
Signature	
Date	8/23/2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



PATENT  
Case No. N0084US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )  
KHAN et al. )  
Serial No. 09/784,660 ) Group: 2654  
Title: DYNAMIC BUILDING, ) Examiner:  
MAINTENANCE AND USE OF ) DANIEL A. NOLAN  
SPATIAL WORD LIST FOR )  
AUTOMATIC SPEECH )  
GENERATION (as amended) )  
Filed: February 15, 2001 )

**APPEAL BRIEF**

This appeal brief is submitted pursuant to 37 CFR 1.192. This is an appeal of the final Office Action dated March 24, 2004. A Notice of Appeal was filed on June 24, 2004.

**(1) REAL PARTY IN INTEREST**

The real party in interest is NAVTEQ North America, LLC (formerly named Navigation Technologies Corporation), a publicly-traded corporation that has its headquarters in Chicago, Illinois.

**(2) RELATED APPEALS AND INTERFERENCES**

There are no related appeals or interferences.

**(3) STATUS OF CLAIMS**

Claims 1-18, 20 and 21 are allowed.

Claim 19 was rejected as obvious under 35 U.S.C. § 103 over the combination of U.S. Pat. No. 6,112,174 (“Wakisaka”) and U.S. Pat. No. 5,974,419 (“Ashby”).

Claim 19 has been appealed.

**(4) STATUS OF AMENDMENTS**

There has been no amendment filed subsequent to the final rejection.

**(5) SUMMARY OF INVENTION**

Appellant’s Claim 19 relates to a system that provides geographic information (page 4, lines 13-14 and 110 in FIGS. 1 and 2). The geographic information system of Appellant’s Claim 19 includes an *“automatic speech recognition system”* (page 8, line 29 - page 9, line 10 and 260 in FIG. 2). The *“automatic speech recognition system”* of Appellant’s Claim 19 uses a *“word list”* (page 9, lines 6-14 and 262 in FIG. 4) containing *“data representations of spoken names of geographic features.”* In order to facilitate recognition of names of geographic features, the number of words on the *“word list”* is limited to *“only a portion of all available data representations of spoken names of geographic features”* (page 9, lines 24-29). In order to select which available data representations of spoken names of geographic features to include in the *“word list”*, the *“word list”* contains a *“first part”* (460 in FIG. 4) that *“changes to include different words as the vehicle travels in the region”* (page 14, lines 26-29 and page 15, lines 22-

29). The “*first part*” includes “*words*” for “*names of geographic features in proximity to the current location of the vehicle*” (page 12, lines 22-25 and page 13, lines 5-9).

In addition to the “*first part*” (460 in FIG. 4), the “*word list*” (262 in FIG. 4) contains a “*second part*” (454 in FIG. 4). The “*second part*” (454 in FIG. 4) “*does not change . . . as the vehicle travels*” (page 12, line 16 and page 14, lines 29-30). The “*second part*” includes “*words for names of selected geographic features located throughout the region*” (page 12, lines 6-15).

Appellant’s Claim 19 further recites that both the “*first part*” and the “*second part*” are available to the “*automatic speech recognition system*” “*at the same time*” so that the words in either the “*first part*” (460 in FIG. 4) or the “*second part*” (454 in FIG. 4) of the “*word list*” (262 in FIG. 4) can be recognized (page 12, lines 5-15 and page 17, lines 3-4). This allows for recognition of names of geographic features located in proximity to the vehicle as well as recognition of names for selected geographic features, such as popular destinations (page 12, lines 10-11), not located in proximity to the vehicle.

## **(6) ISSUES**

At issue is whether Appellant’s Claim 19 is obvious under 35 U.S.C. 103 over the combination of Wakisaka and Ashby.

## **(7) GROUPING OF CLAIMS**

There is only one claim on appeal.

**(8) ARGUMENT**

Appellant's Claim 19 is not obvious over the combination of Wakisaka and Ashby because the premise for combining Wakisaka and Ashby is based on a misinterpretation of the teachings of Ashby. Moreover, even if Wakisaka and Ashby were combined, the resultant combination fails to disclose all the limitations of Appellant's Claim 19, and therefore for this additional reason, Appellant's Claim 19 is not obvious over these references.

Wakisaka discloses a speech recognition system that may be used as part of a car navigation system. (Wakisaka: column 2, lines 19-21.) The Wakisaka speech recognition system includes a plurality of dictionaries. (Wakisaka: column 2, lines 23-25.) Each dictionary contains a number of words or sentences that are made objects for speech recognition. (Wakisaka: column 2, lines 29-30.) The words or sentences in each dictionary correspond to the features located in separate geographic areas. (Wakisaka: column 5, line 36-column 6, line 38 and FIGS. 3A and 3B.) According to Wakisaka, when speech processing is to be performed, one of these dictionaries is stored in a second storage section. (Wakisaka: column 2, lines 38-44.) Wakisaka selects the dictionary to be stored in the second storage section based on the location of the vehicle. (Wakisaka: column 2, lines 50-53.) However, according to Wakisaka, only one dictionary is stored at a time in the second storage section. (Wakisaka: column 2, lines 32-34.) Since each dictionary in Wakisaka corresponds to a separate geographic area and since Wakisaka uses only one dictionary at a time, the words and sentences available for speech recognition are limited to those in the geographic area around the vehicle.

Ashby relates to a way to organize data that represents geographic features to improve performance of a navigation system that uses the data for providing navigation related functions. (Ashby: column 4, lines 12-23.) Navigation systems read geographic data from relatively slow media, such as CD-ROM disks, into memory. (Ashby: column 3, lines 10-20 and column 8, lines 20-24.) Some navigation-related functions can be performed more quickly if the data on the media is sorted into separate, smaller groupings, called parcels. (Ashby: column 3, lines 10-20.) For some navigation functions, the organization of geographic data into parcels is performed spatially. (Ashby: column 8, line 14-column 53-55.) Spatial parcelization means that the physical location of the geographic feature represented by a data entity is used to determine in which parcel the data entity is included. This has the result that geographic features that are located physically close together in the real world are represented by data entities that are physically close together in the geographic database used by the navigation system. (Ashby: column 8, lines 8-13.)

According to the final Office Action mailed March 24, 2004, the combination of Wakisaka and Ashby discloses all the features of Appellant's Claim 19, including a "word list" that has a "*1<sup>st</sup> part*" that changes as the vehicle travels and a "*2<sup>nd</sup> part*" that does not change as the vehicle travels. In the final Office Action, it was acknowledged that Wakisaka does not explicitly state that the "*2<sup>nd</sup> part*" of the "word list" "*does not change.*" (See, final Office Action, page 5, line 5.) However, the final Office Action indicated that it would have been obvious to modify the Wakisaka system to include a "word list" "*2<sup>nd</sup> part*" that "*does not change*" as a vehicle traveled based on the teachings of Ashby. The final Office Action stated the following about these references:

- (1) “With the invention for parcelization of geographic data for storage and use in a navigation application, Ashby describes a system simultaneously representing both destination and present position” (citing column 5, lines 38-42 of Ashby).
- (2) “This destination information reads on the feature that the word list includes a 2<sup>nd</sup> part that does not change to include different words as the vehicle travels in the region and that includes words for names of selected geographic features located throughout the region” (citing column 5, lines 30-36 of Ashby) “. . . wherein both the 1<sup>st</sup> and the 2<sup>nd</sup> part are available to the automatic speech recognition system at the same time (particularly when representing a trip) (citing column 2, lines 42-46 of Ashby).
- (3) “It would have been obvious to a person of ordinary skill in the art of signal processing at the time of the invention to apply the method/teaching of Ashby to the device/method of Wakisaka because throughout the course of the trip destination information does not change while the present location does with the progress of the journey.”

[Final Office Action, page 5.]

The conclusion in the final Office Action that Appellant’s Claim 19 is obvious over the combination of Wakisaka and Ashby is incorrect at least for the following reasons.



**1. The final Office Action misinterpreted Ashby.**

First of all, the conclusion that Appellant's Claim 19 is obvious over the combination of Wakisaka and Ashby is incorrect because Ashby has been misinterpreted.<sup>1</sup> It is incorrect to state that the Ashby invention for parcelization of geographic data describes a system that simultaneously represents both a destination and present position. Parcelization is unrelated to how destinations or present positions are represented. Rather, parcelization refers to how the data entities that represent the geographic features located in a region are organized into groupings on a medium so that the data entities in each such grouping can be accessed and read into the memory of a system, such as a navigation system, in order to perform a navigation-related function. Ashby specifically relates to *spatial* parcelization. With *spatial* parcelization, a geographic region is divided into a large number of smaller sub-areas and then the data entities that represent the geographic features in each of the sub-areas are physically sorted and collected together to form separate parcels. The types of data records that can be parcelized using the Ashby invention include data records that represent roads, intersections, points of interest, and cartographic features. (Ashby: column 5, lines 12-19; column 6, lines 12-23; column 18, lines 28-48.)

When existing in the form of parcelized data, *none* of these data entities represents a current position or a destination *per se*. For example, there is no parcel that contains "destinations", nor is there any parcel that contains "current positions." It is

---

<sup>1</sup> For purposes of full disclosure, the undersigned points out that he is the attorney of record of the Ashby patent (U.S. Pat. No. 5,974,4109) and was responsible for assisting the inventor, Richard A. Ashby, in drafting the specification that described his invention. To the extent permitted by law, the interpretation of Ashby patent contained in this Appeal Brief should not be construed to limit the scope of the claims of the Ashby patent.

only *after* the data records are accessed from a parcel and processed by one or more navigation application programs, such as a vehicle positioning program or a destination selection program, that one of the road segment data records is determined to represent the “current position” of a vehicle and another of the road segment data records is determined to represent the “destination.” Therefore, although Ashby mentions “current positions” and “destinations”, these terms refer to the results of application programs. What constitutes a “current position” or a “destination” is determined at a stage of navigation system operation that is totally unrelated to parcelization. Thus, the fact that both a current position and a destination can be maintained in a navigation system memory simultaneously reveals nothing about how the data is organized in the parcelized database. Therefore, these teachings from Ashby would not lead one of ordinary skill in the art to modify the Wakisaka system to include a “*word list second part*” that does not change to include different words as the vehicle travels.

2. **Ashby includes no teaching that would lead one of ordinary skill in the art to modify a “*automatic speech recognition system word list*” that changes to include different words as the vehicle travels in a region, as taught by Wakisaka, to include a “*second part*” that does not change to include different words as the vehicle travels.**

Another reason why Appellant’s Claim 19 is not obvious over the combination of Wakisaka and Ashby is that Ashby provides no teaching that a “*word list*” used by an “*automatic speech recognition system*” that has a “*first part*” that changes to include different words as the vehicle travels in a region could be modified to include a “*second part*” that does not change to include different words as the vehicle travels. First, Ashby includes no disclosure about automatic speech recognition systems or about storing data, such as “*data representations of spoken names*”, that are used by speech recognition

systems. Although the parcelization invention disclosed in Ashby could be applied to the system recited in Appellant's Claim 19, it would need to be modified because Ashby does not teach parcelization of word list data. Further, Ashby does not teach about data of any type, for that matter, which includes a "*first part*" that changes to include different words as the vehicle travels and a "*second part*" that does not change to include different words as the vehicle travels. Therefore, the type of "*word list*", as recited in Appellant's Claim 19, formed of two parts, a "*first part*" that changes as the vehicle travels and a "*second part*" that does not change as the vehicle travels, is not disclosed by Ashby.

**3. The combination of Ashby and Wakisaka fails to disclose all the limitations of Appellant's Claim 19.**

Still another reason why Appellant's Claim 19 is not obvious over the combination of Wakisaka and Ashby is that these references, even if combined, fail to disclose all the limitations recited in the claim. The final Office Action acknowledged that Wakisaka did not disclose the "*word list second part . . . that does not change to include different words as the vehicle travels*" of Appellant's Claim 19 and referred to Ashby for disclosing this element of the claim. In the final Office Action, "*destination information*" from Ashby was identified as corresponding to the "*word list second part*" that does not change to include different words as the vehicle travels.

The rejection of Appellant's Claim 19 is in error because the "*destination information*" from Ashby fails to disclose the "*word list second part*" of Appellant's Claim 19, as asserted in the final Office Action. A "*destination*" is a single place, i.e., where a route ends. The "*word list second part that does not change to include different words as the vehicle travels in the region*" and that includes "*words for names of*

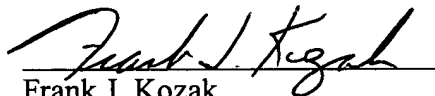
*selected geographic features located throughout the region*” includes by definition plural names. Because “*destination information*”, as used in Ashby, represents a single place, it is not the same as a list of places throughout a region, i.e., plural places, as recited in Appellant’s Claim 19. Therefore, even assuming that Wakisaka and Ashby were combined, the resultant combination would still fail to disclose the “*word list second part*” of Appellant’s Claim 19. For this additional reason, Appellant’s Claim 19 is not obvious over this combination of references.

### **ARGUMENT CONCLUSION**

For any of the above reasons, Appellant’s Claim 19 is not obvious over the combination of Wakisaka and Ashby and therefore, the rejection of Appellant’s claim is in error.

Appellant respectfully requests the Board to reverse the rejection of Claim 19.

Respectfully submitted,



Frank J. Kozak  
Reg. No. 32,908  
Chief Intellectual Property Counsel

NAVTEQ North America, LLC  
222 Merchandise Mart Plaza, Suite 900  
Chicago, IL 60654  
(312) 894-7000 x7371

**(9) APPENDIX**

19. A system that provides geographic information and that is formed of component systems comprising:

a positioning system that determines a current location of a vehicle in a region;

an automatic speech recognition system that matches data representations of words spoken by a user of the vehicle to a word list of data representations of spoken names of geographic features,

wherein the word list of data representations of spoken names of geographic features includes only a portion of all available data representations of spoken names of geographic features, and wherein the word list includes

a first part that changes to include different words as the vehicle travels in the region such that the first part includes words for names of geographic features in proximity to the current location of the vehicle;

a second part that does not change to include different words as the vehicle travels in the region and that includes words for names of selected geographic features located throughout the region,

and wherein both the first part and the second part are available to the automatic speech recognition system at the same time.